

# TRANSMITTAL FORM



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|---------------------------|----------------------|
| Application Serial Number | 09/338,063           |
| Filing Date               | June 23, 1999        |
| First Named Inventor      | Goto et al.          |
| Group Art Unit            | 1643                 |
| Examiner Name             | Not yet assigned     |
| Attorney Docket No.       | FJN-060DV2 (3999/63) |

## ENCLOSURES (check all that apply)

|  |   |   |
|--|---|---|
| <input type="checkbox"/> Fee Transmittal Form<br><input type="checkbox"/> Check Attached<br><input type="checkbox"/> Copy of Fee Transmittal Form<br><input type="checkbox"/> Amendment/Response<br><input type="checkbox"/> After Final<br><input type="checkbox"/> Affidavits/declaration(s)<br><input type="checkbox"/> Letter to Official Draftsperson including Drawings [Total Sheets ____]<br><input type="checkbox"/> Extension of Time Request<br><input type="checkbox"/> Information Disclosure Statement<br><input type="checkbox"/> Form PTO-1449<br><input type="checkbox"/> Copies of IDS Citations<br><input type="checkbox"/> Certified Copy of Priority Document(s)<br><input type="checkbox"/> Response to Missing Parts/Incomplete Application | <input type="checkbox"/> Copy of Notice to File Missing Parts of Application (PTO-1553)<br><input type="checkbox"/> Formal Drawing(s)<br><input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition to Convert to a Provisional Application<br><input type="checkbox"/> Power of Attorney (Revocation of Prior Powers)<br><input type="checkbox"/> Terminal Disclaimer<br><input type="checkbox"/> Executed Declaration and Power of Attorney for Utility or Design Patent Application<br><input type="checkbox"/> Small Entity Statement<br><input type="checkbox"/> Request for Refund<br><input type="checkbox"/> After Allowance Communication to Group | <input type="checkbox"/> Appeal Communication to Board of Patent Appeals and Interferences<br><input type="checkbox"/> Appeal Communication to Group ( <i>Appeal Notice, Brief, Reply Brief</i> )<br><input type="checkbox"/> Status Letter<br><input checked="" type="checkbox"/> Return Receipt Postcard<br><input checked="" type="checkbox"/> Certificate of First Class Mailing under 37 C.F.R. 1.8<br><input checked="" type="checkbox"/> Additional Enclosure(s) ( <i>please identify below</i> )<br>Submission of Paper Copy and Computer Readable Copy of Sequence Listing for Invention Containing Nucleotide and/or Amino Acid Sequence<br>Paper Copy of Sequence Listing and 1 diskette of Sequence Listing<br>Copy of Notice to Comply with Requirements for Patent Applications Containing Nucleotide Sequence and/or Amino Acid Sequence Disclosures |
|--|---|---|

## CORRESPONDENCE ADDRESS

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## SIGNATURE BLOCK

Date: September 1, 1999  
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Respectfully submitted,

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT(S): Goto et al. TECH CENTER 1600/2900  
SERIAL NO.: 09/338,063 GROUP NO.: 1643  
FILING DATE: June 23, 1999 EXAMINER: Not yet assigned  
TITLE: NOVEL PROTEINS AND METHODS FOR PRODUCING THE  
PROTEINS

CERTIFICATE OF FIRST CLASS MAILING UNDER 37 C.F.R. 1.8

I hereby certify that this correspondence, and any document(s) referred to as enclosed herein, is/are being deposited with the United States Postal Service as first class mail, postage prepaid, in an envelope addressed to the Assistant Commissioner for Patents, Washington, DC 20231 on this 1st day of September 1, 1999.

*Julie Westhaver*  
Julie Westhaver

BOX SEQUENCE

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

Submitted herewith is/are:

Transmittal Form (1 pg.); Submission of Paper Copy and Computer Readable Copy of Sequence Listing for Invention Containing Nucleotide and/or Amino Acid Sequence (2 pgs.); Paper Copy of Sequence Listing (69 pgs.); Computer Readable Copy of Sequence Listing (1 diskette); Copy of Notice to Comply with Requirements for Patent Applications Containing Nucleotide Sequence and/or Amino Acid Sequence Disclosures (1 pg.); and postcard.



PATENT  
Attorney Docket No. FJN-060DV2  
(3999/63)

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

APPLICANT(S): Goto et al.

SERIAL NO.: 09/338,063 GROUP NO.: 1643

FILING DATE: June 23, 1999 EXAMINER: Not yet assigned

TITLE: NOVEL PROTEINS AND METHODS FOR PRODUCING THE PROTEINS

**Box SEQUENCE**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

**SUBMISSION OF PAPER COPY AND COMPUTER READABLE COPY  
OF SEQUENCE LISTING FOR INVENTION  
CONTAINING NUCLEOTIDE AND/OR AMINO ACID SEQUENCE**

(check and complete this item, if applicable)

1. ☒ This replies to the Notice to Company with Requirements for Patent Applications Containing Nucleotide Sequence and/or Amino Acid Sequence Disclosures dated August 5, 1999.
- ☒ A copy of the Notice to Company with Requirements for Patent Applications Containing Nucleotide Sequence and/or Amino Acid Sequence Disclosures is enclosed.
2. Submitted herewith is/are  
(check each item as applicable)
  - A. ☒ a paper copy of the Sequence Listing for this application with each sequence assigned a separate identifier.
  - B. ☒ a copy, in computer readable form, of the Sequence Listing for this application.

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### STATEMENT

3. I hereby state that:

- A. ☒ the content of the paper and computer readable copies submitted herewith are the same.
- B. ☒ the content of the computer readable copy submitted herewith is the same as the Sequence Listing appearing on pages 1 to 79 of the Sequence Listing in the original specification as filed.
- C. ☒ this submission includes no new matter.

Respectfully submitted,

Date: September 1, 1999  
Reg. No. 44,244

Tel. No.: (617) 248-7044  
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UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
Address: COMMISSIONER OF PATENTS AND TRADEMARK  
Washington, D.C. 20231

| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NO./TITLE |
|--------------------|---------------------|-----------------------|---------------------------|
| 09/338,063         | 06/23/99            | GOTO                  | FIN-060DV2.63             |

021323  
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0242/0805

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NOT ASSIGNED

TECH CENTER 1600/2900

SEP 07 1999

DATE MAILED: 1643

08/05/99

**NOTICE TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS  
CONTAINING NUCLEOTIDE SEQUENCE AND/OR AMINO ACID SEQUENCE DISCLOSURES**

The nucleotide and/or amino acid sequence disclosure contained in this application does not comply with the requirements for such a disclosure as set forth in 37 CFR 1.821 - 1.825 for the following reason(s):

- ☐ 1. This application fails to comply with the requirements of 37 CFR 1.821 - 1.825.
- ☐ 2. This application does not contain, as a separate part of the disclosure on paper copy, a "Sequence Listing" as required by 37 CFR 1.821(c).
- ☐ 3. A copy of the "Sequence Listing" in computer readable form has not been submitted as required by 37 CFR 1.821(e).
- ☒ 4. A copy of the "Sequence Listing" in computer readable form has been submitted. The content of the computer readable form, however, does not comply with the requirements of 37 CFR 1.822 and/or 1.832, as indicated on the attached marked-up copy of the "Raw Sequence Listing."
- ☐ 5. The computer readable form that has been filed with this application has been found to be damaged and/or unreadable as indicated on the attached CRF Diskette Problem Report. A substitute computer readable form must be submitted as required by 37 CFR 1.825(d).
- ☐ 6. The paper copy of the "Sequence Listing" is not the same as the computer readable form of the "Sequence Listing" as required by 37 CFR 1.821(e).
- ☐ 7. OTHER: \_\_\_\_\_

**APPLICANT MUST PROVIDE:**

- ☒ An initial or substitute computer readable form (CRF) copy of the "Sequence Listing."
- ☐ An initial or substitute paper copy of the "Sequence Listing," as well as an amendment directing its entry into the specification.
- ☒ A statement that the content of the paper and computer readable copies are the same and, where applicable, include no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b) or 1.825(d).

**FOR QUESTIONS REGARDING COMPLIANCE WITH THESE REQUIREMENTS, PLEASE CONTACT:**

- ☐ For Rules Interpretation, call (703) 308-1123.
- ☐ For CRF submission help, call (703) 308-4212.
- ☐ For PatentIn software help, call (703) 308-6856.

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

**PART 2 - COPY TO BE RETURNED WITH RESPONSE**